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Approved for use through 10/31/2002. OMB 0651-0032

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No. 16869N031100

First Inventor Chujo, Norio

Title OPTICAL MODULES AND METHODS OF MAKING THE OPTICAL MODULES

Express Mail Label No. EL525753084US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning design patent application contents.

- Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
- Applicant claims small entity status.  
See 37 CFR 1.27.
- Specification [Total Pages 27]  
(Informational segments set forth below)
  - Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed Sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
- Drawing(s) (35 U.S.C.113) [Total Sheets 12] 1
- Oath or Declaration [Total Pages 1]
  - a.  Newly executed (original or copy)
  - b.  Copy from a prior application (37 CFR 1.63 (d)) (for a continuation/divisional with Box 18 completed)
    - DELETION OF INVENTOR(S)**  
Signed statement attached deleting Inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
- Application Data Sheet. See 37 CFR 1.67

**ADDRESS TO**Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231**ACCOMPANYING APPLICATIONS PARTS**

- Assignment Papers (cover sheet & document(s))
- 37 C.F.R. §3.73(b) Statement  Power of (when there is an assignee) Attorney
- English Translation Document (if applicable)
- Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations
- Preliminary Amendment
- Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
- Certified Copy of Priority Document(s) (if foreign priority is claimed) (JP 2001-192704)
- Nonpublication Request under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent
- Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76.

 Continuation     Divisional     Continuation-In-Part (CIP)

of prior application No: \_\_\_\_\_ / .....

Prior application information: Examiner \_\_\_\_\_ Group Art Unit: .....

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**

Customer Number or Bar Code Label 20380      or  Correspondence address below  
(Insert Customer No. or Attach bar code label here)

|         |           |          |  |
|---------|-----------|----------|--|
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|                   |                          |                                   |                 |
|-------------------|--------------------------|-----------------------------------|-----------------|
| Name (Print/Type) | Robert C. Colwell        | Registration No. (Attorney/Agent) | 27,431          |
| Signature         | <i>Robert C. Colwell</i> | Date                              | August 15, 2001 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.  
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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 1140

| Complete If Known    |                 |
|----------------------|-----------------|
| Application Number   |                 |
| Filing Date          |                 |
| First Named Inventor | Chujo, Norio    |
| Examiner Name        |                 |
| Group Art Unit       |                 |
| Attorney Docket No.  | 16869N-031100US |

| METHOD OF PAYMENT   |  |  |  | FEE CALCULATION (continued)   |  |  |  |
|---|--|--|--|---|--|--|--|
| <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:<br><b>Deposit Account Number</b> 20-1430          |  |  |  | <b>3. ADDITIONAL FEES</b><br>Large Entity Small Entity Fee Description<br>Fee Code (\$ Fee Code (\$ Fee Code (\$ Fee Paid<br>105 130 205 65 Surcharge - late filing fee or oath<br>127 50 227 25 Surcharge - late provisional filing fee or cover sheet<br><br>139 130 139 130 Non-English specification<br>147 2,520 147 2,520 For filing a request for reexamination<br>112 920* 112 920* Requesting publication of SIR prior to Examiner action<br>113 1,840* 113 1,840* Requesting publication of SIR after Examiner action<br><br><input type="checkbox"/> Charge Any Additional Fee Required<br>Under 37 CFR 1.18 and 1.17<br><input type="checkbox"/> Applicant claims small entity status.<br>See 37 CFR 1.27                     |  |  |  |
| <input type="checkbox"/> Payment Enclosed:<br><input type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other |  |  |  | Large Entity Small Entity Fee Description<br>Fee Code (\$ Fee Code (\$ Fee Code (\$ Fee Paid<br>115 110 215 55 Extension for reply within first month<br>116 390 216 195 Extension for reply within second month<br><br>117 890 217 445 Extension for reply within third month<br>118 1,390 218 695 Extension for reply within fourth month<br><br><b>Fee Calculation</b><br><b>1. BASIC FILING FEE</b><br>Large Entity Small Entity Fee Description<br>Fee Code (\$ Fee Code (\$ Fee Code (\$ Fee Paid<br>101 710 201 355 Utility filing fee<br>106 320 206 160 Design filing fee<br>107 490 207 245 Plant filing fee<br>108 710 208 355 Reissue filing fee<br>114 150 214 75 Provisional filing fee<br><br><b>SUBTOTAL (1)</b> (\$3710) |  |  |  |
| <b>2. EXTRA CLAIM FEES</b><br>Total Claims 18 -20** = 0 X \$18 = \$0<br>Independent Claims 5 -3** = 2 X \$80 = \$160<br>Multiple Dependent 1 X \$270 = \$270                          |  |  |  | Large Entity Small Entity Fee Description<br>Fee Code (\$ Fee Code (\$ Fee Code (\$ Fee Paid<br>122 130 122 130 Petitions to the Commissioner<br>123 50 123 50 Petitions related to provisional applications<br><br>126 180 126 180 Submission of Information Disclosure Stmt<br><br>581 40 581 40 Reporting each patent assignment per property (times number of properties)<br>146 710 246 355 Filing a submission after final rejection (37 CFR § 1.12(b)(a))<br>149 710 249 355 For each additional invention to be examined (37 CFR § 1.129(b))<br>179 710 279 355 Request for Continued Examination (RCE)<br>169 900 169 900 Request for expedited examination of a design application<br><br>Other fee (specify)                   |  |  |  |
| The Commissioner is authorized to charge any additional fees to the above noted Deposit Account.<br>*Reduced by Basic Filing Fees Paid <b>SUBTOTAL (3)</b> (\$)                       |  |  |  |   |  |  |  |

\*or number previously paid, if greater; For Reissues, see above

| SUBMITTED BY      |                          |                                   | Complete (if applicable) |                 |              |
|-------------------|--------------------------|-----------------------------------|--------------------------|-----------------|--------------|
| Name (Print/Type) | Robert C. Colwell        | Registration No. (Attorney/Agent) | 27,431                   | Telephone       | 650-326-2400 |
| Signature         | <i>Robert C. Colwell</i> |                                   | Date                     | August 15, 2001 |              |

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